FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-007 Re	APPLICATION NO. 09/859,661
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		U.S	. PATENT DOCUME	NTS		
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	·CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
			GROUP A			
y	3,656,148	04/11/72	Belcher et al.	345	2.1	
4	5,689,652	11/18/97	Lupien et al.	395	237	
4	5,787,402	07/28/98	Potter et al.	705	37	
1th	5,873,071	02/16/99	Ferstenberg et al.	705	37	<u> </u>
192	5,905,975	05/18/99	Ausubel	705	37	
K	5,926,801	07/20/99	Matsubara et al.	705	37	
14	5,987,419	11/16/99	Hachino et al.	705	1	
1 Char	6,016,483	01/18/00	Rickard et al.	705	37.	
Kho	6,029,146	02/22/00	Hawkins et al.	705	35	<del></del>
19	6,230,146	05/08/01	Alaia et al.	705	37	
Los	6,247,000	06/12/01	Hawkins et al.	705	37	
la	6,282,521	08/28/01	Howorka	705	37	
1/2	6,311,178	10/30/01	Bi et al.	707	3	
1/	6,343,278	01/29/02	Jain et al.	705	37	
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			GROUP B			
4	6,151,588	11/21/00	Tozzoli et al.	705	37	
12	6,405,180	06/11/02	Tilfors et al.	705	37	
lo	6,505,174	01/07/03	Keiser et al.	705	37	
14	6,519,574	02/11/03	Wilton et al.	705	35	
14	US2002/0023041	02/21/02	Brett	705	37	· · · · · · · · · · · · · · · · · · ·
4	US2002/0091626	07/11/02	Johnson et al.	705	37	
Th	US2003/0050888	03/13/03	Satow et al.	705	37	
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EXAMINER	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	CLIDGLAGG	TRANSLATION	
INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
			GROUP A				
R	62-256164	11/07/87	Japan	G06F	15/18		X
			GROUP C				<u> </u>
4	GB 2 258 061A	01/27/93	GB	G06F	15/30		
If I	WO 95/26005	09/28/95	PCT	G06F	17/60		
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4	Massimb, M., et al, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, Jan- Feb 1994, pp. 39-50.
	GROUP C
The	Charles Schwab & Co., Inc., "Charles Schwab Street Smart", Charles Schwab Getting Started Manual, 1994, pp. 1-29.
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•	•		APPENDIX B			-
W	5,243,331	09/07/93	McCausland et al.	345	172	_
			APPENDIX C			
4	3,249,919	05/03/66	Scantlin	340	825.26	
0	4,789,928	12/06/88	Fujisaki	705	37	
14/2	4,799,156	01/17/89	Shavit et al.	705	26	
left -	5,077,665	12/31/91	Silverman et al.	705	37	
	5,361,199	11/01/94	Shoquist et al.	705	26	
1	5,463,547	10/31/95	Markowitz et al.	715	507	
1ch	5,715,402	02/03/98	Popolo	705	37	-OFWED
Ma	5,794,219	08/11/98	Brown	705	37	ECEIVED
4/1	5,826,244	10/20/98	Huberman	705	37	OCT 0 9 2003
14	5,832,462	11/03/98	Midorikawa et al.	705	0.5	_
14	5,835,896	11/10/98	Fisher et al.	705	37 <b>G</b>	<b>ROUP 3600</b>
1/	5,842,178	11/24/98	Giovannoli	705	26	
1/1	5,890,138	03/30/99	Godin et al.	705	26	
1//	5,924,082	07/13/99	Silverman et al.	705	37	
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			APPENDIX C				
4	0,416,482	03/13/91	EPO	G07F	7/10		
14	0,512,702	11/11/92	EPO	G06F	15/21		
Uha	WO 96/34356	10/31/96	PCT	G06F	17/60		

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

PLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS

ATTY. DOCKET NO.	APPLICATION
CF-007 Re	NO. 09/859,661
APPLICANTS Fraser et al.	CONFIRMATION NO. 3933
FILING DATE	GROUP
May 17, 2001	3622

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4	LIBERTY BROKERAGE INVESTMENT CORP., et al., v. CANTOR FITZGERALD, L.P., et al., C.A. No. 99-522 RRM STIPULATED ORDER OF DISMISSAL.
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